CHAPTER 128

GRIEVANCES AND APPEALS FOR PERMANENT EMPLOYEES

Section 1. **Statement of Policy.**

Permanent It is the policy of the State of Wyoming to resolve employee grievances and appeals in a fair and timely manner. Employees may voluntarily participate in the mediation program which assists disputing parties in reaching a mutually acceptable resolution to issues and concerns raised by the parties. Employees who voluntarily choose to participate in the mediation program shall not forfeit their right to present a grievance in accordance with this chapter. Eemployees shall have the right to present a grievance or appeal, pursuant to the provisions of this chapter, without coercion, restraint, discrimination or reprisal. No State agency covered by these Personnel Rules shall adopt or implement a separate or different employee grievance procedure. In implementing and facilitating this policy, all state agencies shall comply with these rules and all other applicable law.

Section 2. **General Provisions.**

- (a) Time Periods:
- (i) In computing any period of time prescribed or allowed by this chapter, the day of the act, event, or default from which the designated period of time begins shall not be included. The last day of the period so computed shall be included, unless that day is a Saturday, Sunday, or legal holiday. When the period of time prescribed or allowed is less than eleven (11) ten (10) days, intermediate Saturdays, Sundays, or legal holidays shall be excluded from the computation;
- (ii) When these rules or a notice given there under is required or allowed to be done at or within a specified time, tThe Human Resources Administrator may, upon written application, request and for good cause shown, or at his/her own discretion, extend or enlarge theany time period prescribed by this chapter, provided that the any such written request is received before the expiration of the time period originally prescribed.
- (b) Compliance with Procedure. An employee shall forfeit the right to pursue a grievance and / or appeal if the employee fails to follow the procedures prescribed by this chapter.
- (c) Waiver of Procedure. (iii) —Any procedural step allowed procedure prescribed by these rules this chapter may be waived by mutual written agreement between the parties involved. A copy of this the agreement shall be forwarded to the Human Resources Administrator or the Ppresiding Oofficer, as applicable.
- (bd) Designation of Parties. As used <u>The rights</u> in this chapter, the word employee shall refer apply to permanent employees only.
- (ee) Representation. In all proceedings provided under this chapter aAn employee who is a party to the proceedings shall have the right to appear personally and may be accompanied by his/her chosen representative may be represented by any person, including legal counsel, at any stage of the grievance and / or appeal process.
- (df) Release Time Administrative Leave. The An employee who is a party to the proceedings, any employees who are or witnesses in a grievance or appeal subpoenaed by the Presiding Officer for a party or are requested to appear by a Grievance Committee, and employee Grievance Committee members shall be granted administrative leave while participating to participate in any the proceeding. sprovided under this chapter. In accordance with Section 5 (a) and Section 5 (c), aAn employee who has

filed a grievance shall be entitled to a maximum of eight (8) hours of administrative leave to prepare for presentation of the grievance and / or appeal. Prior notice shall be given to the employee's supervisor.

- (eg) Grievance Committee: Membership and Compensation. Grievance Committee members shall be individuals who have consented to serve as such and who are not parties to the dispute, nor employees from the same agency as either party to the dispute, nor advocates of either party to the dispute. Grievance Committee members shall not have any ex parte communication with the parties to the dispute during the grievance process. Non-employee Grievance Committee members shall serve without compensation but shall be reimbursed for expenses in the same manner and at the same rate as employees.
- (f) Personnel Appeal Hearing: Presiding Officer and Compensation. As used in these Rules, Presiding Officer shall mean the person agreed upon by the employee and the agency to preside over the personnel appeal hearing, or, if the employee and the agency are unable to agree upon such a person, Presiding Officer shall mean the hearing officer assigned from the Office of Administrative Hearings. The Presiding Officer shall be an individual who has consented to serve as such and who is fair, impartial and disinterested and who is not a party to the dispute, is not from the same agency as either party to the dispute and is not an advocate of either party to the dispute. Presiding Officers shall be compensated and have their expenses reimbursed as provided in W.S. 9 2 1019(a).
- (i) The Presiding Officer shall have original jurisdiction in all hearings which involve the dismissal or the involuntary separation due to a reduction in force of a permanent employee and jurisdiction in disciplinary suspension appeals, pursuant to Chapter 12, Section 6 of these Rules.
- (gh) Grievance Committee Decisions. Decisions of a Grievance Committee shall require a majority vote of the body. No hearing shall be conducted without the presence of all <u>Grievance</u> Ceommittee members, unless stipulated to by the parties. The hearing may be conducted by telephone or other electronic media.
- (hi) Custody of Records. The State—Human Resources Administrator shall be the official custodian of all papers and records pertaining to the provisions of this chapter.—Such material shall be considered confidential, but the parties and/or their representative shall have access to any and all materials associated with the employee, the grievance or the appeal except as prohibited by statute and rules adopted in accordance with the Wyoming Administrative Procedure Act.
- (ij) Confidential Proceedings. Grievance or appeal proceedings may be conducted in executive session not open to the public, unless the employee requests a public hearing pursuant to W.S. 6 4 405 et. seg.. All grievance and appeals proceedings shall be confidential.
- (k) Service of Documents. Any person filing a document with the Human Resources Administrator in a grievance and / or appeal proceeding shall serve a copy on all parties and representatives at or before the time the document is filed with the Human Resources Administrator.
- (1) Agencies shall provide a report to the Human Resources Division on or before February 30 of each year, in the manner determined by the Human Resources Division, on the number and type of grievances submitted to the Agency Head during the previous year.

Section 3. **Definition of Grievance.**

(a) A g"Grievance" is means a dispute, excluding a dismissal or an involuntary separation due to a reduction in force, between an employee and management of the employee's agency, which involves the interpretation or application of a statute, policies, rules, executive order, or policy

regulations, and/or statutes which have been adopted by an agency, Governor's Executive Order, or the State Legislature to cover-concerning personnel practices and/or working conditions.

- (b) "Grievance" does not include a dispute, which involves;
- (i) Compensation, benefits, contributions, and other conditions, which are beyond the control of the agency head;
 - (ii) Discrimination;
 - (iii) Dismissal;
 - (iv) Involuntary separation due to a reduction in force; or
 - (v) Performance evaluation ratings.

Section 4. Compliance with Procedure.

If an employee does not properly comply with the procedural steps required by this chapter, the employee shall have forfeited rights granted by these provisions for the grievance. If the agency does not properly comply with the procedural steps, the employee may proceed to the next step in the grievance procedure within ten (10) days of the agency's noncompliance with the procedural steps.

Section 54. Grievance Procedure Steps.

- (a) Within ten (10) days of the event giving rise to the grievance or of the employee having knowledge of the event, the employee may present the grievance in writing to the management employee at the lowest level giving rise to the dispute and the agency head. When the grievance involves the allegation of sexual harassment, the employee may present the grievance to the agency head in accordance with Section 5 (c) of this chapter. When the management employee is the agency head, the grievance shall be presented to the agency head in accordance with Section 5 (c) of this chapter. The grievance shall specify the time, parties involved, include a brief statement of fact on which the grievance is based and relief sought.
- (b) Within ten (10) days of receiving the written grievance, the appropriate management employee shall hold a conference with the employee to resolve the dispute and render a decision in writing to the employee within ten (10) days after the conference. The written decision shall state the next step in the appeal process for the employee and the time limit for that step.
- (c) If the decision of the management employee is unsatisfactory to the employee, the employee may, within ten (10) days of the date of the decision, submit the grievance in writing to the agency head. The grievance shall specify the time, parties involved, a brief statement of the grievance and relief sought.
- (db) Within ten (10) days of receiving the written grievance, the agency head or his/her designee and the appropriate management employee at the lowest level giving rise to the dispute shall hold a conference with the employee to resolve the dispute and render a decision, in writing, to the employee within ten-five (105) days after the conference. A decision by the agency head or the designee shall be the final step in the grievance procedure unless the grievance involves a dispute in accordance with Section 5-4 (ed) of this chapter.
- (c) In the event the management employee giving rise to the dispute is the agency head and the decision of the agency head is unsatisfactory to the employee and involves allegations concerning violations of a statute, rule, executive order, or policy, the employee shall submit the grievance in writing

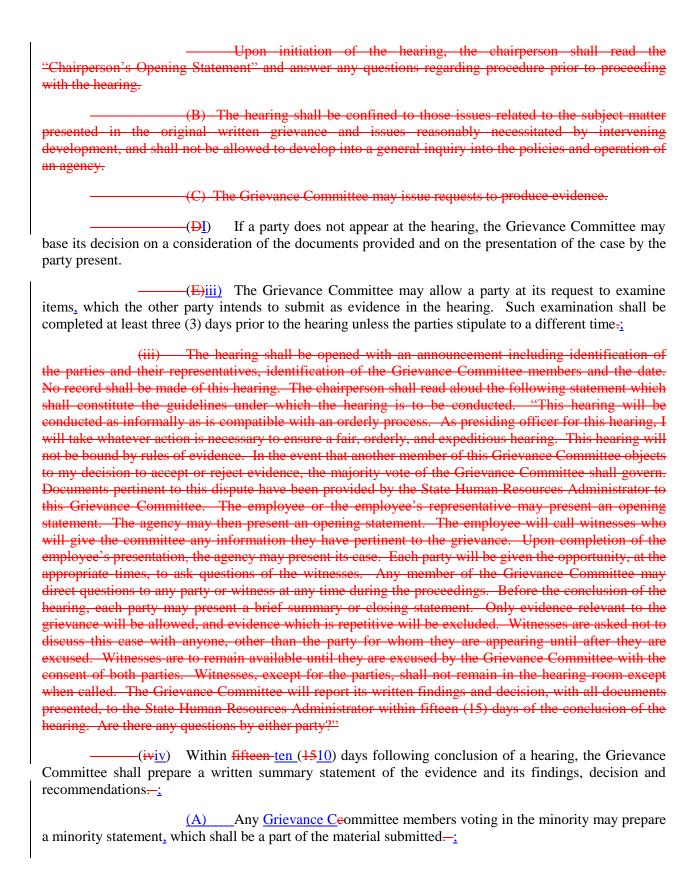
to the Human Resources Administrator within ten (10) days of receiving the written decision by the agency head.

- (i) The Human Resources Administrator shall within five (5) days of receiving the written grievance, forward the issue to the Governor or his designee for investigation in accordance with Executive Order 1997-4.
- (ed) If the decision of the agency head or the designee is unsatisfactory to the employee and if the grievance involves a written reprimand, a disciplinary suspension, or an involuntary reappointment reassignment due to unsatisfactory work performance, or an involuntary reassignment to a lower grade, the employee may, within ten (10) days of the date of the decision, request the Human Resources Administrator to establish a Grievance Committee to hear the matter. Other matters may be considered by a Grievance Committee at the discretion of the State Human Resources Administrator. All requests shall be submitted, in writing, to the State Human Resources Administrator and shall include the nomination of an individual to serve as a Grievance Committee member. A copy of this the request to establish a Gerievance Committee shall be provided to the employee's agency head by the employee.
- (fe) Within ten-five (105) days of the date of a request for the establishment of a Grievance Committee, the State-Human Resources Administrator or his/her designee shall notify the head of the agency with which the employee has the dispute; and request the nomination of a Grievance Committee member. The agency head shall notify the State Human Resources Administrator or his/her designee of the nomination within tenfive (105) days.
- (gf) Within ten-five (105) days of receipt of the agency head nomination, the State Human Resources Administrator shall notify the two (2) nominees that they are to serve as Grievance Committee members, and that they shall within fifteen-five (155) days of receipt of such notice form the Grievance eCommittee by selecting a third member from a list of agency human resource officers (or other designated individuals) who have agreed to serve as Grievance Committee members. This list is maintained at the Department of Administration and Information, Human Resources Division, Emerson Building, 2001 Capitol Avenue, Cheyenne, WY 82002 and is available for public inspection and copying at cost at the same location. A chairperson and secretary shall be selected from among Grievance Ceommittee members.
 - (hg) Grievance Committee Purpose and Authority.
- (i) The purpose of the Grievance Committee is to resolve a dispute, which falls within Section 5-4(ed) of this chapter.
- (ii) The Grievance Committee has the authority to affirm, modify or reverse any action(s) so long as the decisions and recommendations are not in conflict with Personnel Rules, State Statutes, or agency rules and regulations. Decisions of the <u>Grievance</u> Committee are final unless the grievance is appealable in accordance with Section 6-5 of this chapter.
 - (<u>ih</u>) Grievance <u>Committee</u> Hearings.
- (i) Within <u>forty-fivetwenty-five</u> (4525) days of the formation of a Grievance Committee, the <u>Grievance</u> Committee shall schedule and hold a hearing or render a decision without a hearing, based solely on the written record-:
- (A) The <u>hearing shall be confined to those issues provided by the parties in Chapter 8 Section 4(d) and shall not develop into a general inquiry into the policies and operations of an agency. The written record shall constitute and is limited to the documentation provided by the parties in Chapter 12.8 Section 54(a)(b)(c) and (d).);</u>

proceedings are unnecessary, the Grievance Committee shall submit a written decision to the State Human Resources Administrator who shall forward copies to both parties. If the issues raised by either or both parties are such that further (C) proceedings are necessary, the Grievance Committee shall initiate a hearing. The hearing shall be concluded within ten-five (105) days of initiation, provided, that the hearing may be extended with the agreement of both parties and a majority of the Grievance Committee. The Grievance Committee shall select a location for the hearing, which is most convenient for the parties and their interests. (ii) General Provisions for a Grievance Hearing: (A) The chairperson shall take whatever action is necessary to ensure a fair, orderly, and expeditious hearing. -(B) No record shall be made of the hearing; The hearing shall not be bound by formal rules of evidence; -(C) (I)Decisions to accept or reject evidence, upon objection by another Grievance Ceommittee member, shall require a majority vote of the Grievance Committee...; -(II) Only evidence relevant to the grievance shall be allowed and evidence which is repetitive, will be excluded; The Grievance Committee may issue requests to \cdot (III) produce evidence; Opening statements may be made, first by the employee or the (D) employee's representative followed by the Agency: **(E)** The employee shall present their case first, followed by the Agency; Witnesses who will give pertinent information to the grievance **(F)** may be called; (I) Witnesses shall remain available and not discuss the case with anyone, other than the party for whom they are appearing until after they are excused by the Grievance Committee and the consent of both parties; (II)Witnesses, except for the parties, shall not remain in the hearing room except when called; -(III) Each party will be given the opportunity at the appropriate times, to ask questions of the witnesses; (G) Any member of the Grievance Committee may direct questions to any party or witness at any time during the proceedings; Prior to the conclusion of the hearing, each party may present a -(H) brief summary or closing statement, first the employee or the employee's representative followed by the Agency;

If the issues raised by either or both parties are such that further

(B)



(B) The chairperson shall ensure that all evidence, findings, decisions and minority statements and recommendations are forwarded to the State-Human Resources Administrator, agency head, employee, and the employee's representative, if any.

Section 65. Disciplinary Suspension or Involuntary Reappointment Due To Unsatisfactory Work Performance Appeal Personnel Appeals.

- (a) Right to Hearing.
 - (i) An employee may appeal the following agency head decisions:
 - (A) Dismissal;
 - (B) Involuntary separation due to a reduction in force;
- (ii) Either party may appeal, through a de novo hearing, the following final Grievance Committee decisions:
 - (A) Involuntary reassignment due to unsatisfactory work performance;
 - (B) Involuntary reassignment to a lower grade; and
 - (C) Disciplinary suspension.
 - (b) Request for Hearing:
- (i) Any employee may appeal the agency head's decision or either party may appeal a Grievance Committee decision by filing a notice of appeal with the Human Resources Administrator setting forth the following:
- (A) The name and address of the employee and the name and address of the employee's representative if any;
- (B) The decision of the agency head or Grievance Committee being appealed;
 - (C) A statement of the facts on which the appeal is based; and
 - (D) The relief sought.
- (ii) Appeals shall be filed, in writing, within twenty (20) days of the date of the agency head or Grievance Committee's decision;
- (A) In order to be timely filed, the Human Resources Administrator shall receive the notice of appeal within the twenty (20) day deadline;
- (B) After the filing of a petition for a personnel appeal hearing, such petition may not thereafter be amended as may be allowed by the Wyoming Rules of Civil Procedure.
- (iii) The appealing party shall serve a copy of the notice of appeal on the other party and the other party's representative, if any, at the time the notice of appeal is filed;
- (iv) The Human Resources Administrator shall immediately forward a file stamped copy of the notice of appeal to the other party and the other party's representative, if any.

If the disciplinary action being grieved by the employee is a disciplinary suspension or an involuntary reappointment due to unsatisfactory work performance, either party may, within twenty (20) days of the date of the decision of the Grievance Committee, file a petition for a personnel appeal hearing with the State Human Resources Administrator. Such appeal hearing shall be conducted as a new hearing, with opportunity for the presentation of evidence, as provided in Section 7 of this chapter. If neither party files a petition for a personnel appeal hearing within the time frame prescribed above, the Grievance Committee determination shall be final.

Section 7. **Dismissal/Reduction in Force/Disciplinary Suspension/Involuntary Reappointment Due to Unsatisfactory Work Performance Appeals.**

- Within twenty (20) days of the date of a notice of dismissal, an involuntary separation due to a reduction in force, an appeal from a disciplinary suspension, an involuntary reappointment due to unsatisfactory work performance, a permanent employee may file a petition for a personnel appeal hearing with the State Human Resources Administrator. In order to be timely filed, the State Human Resources Administrator must receive the petition within the twenty (20) day deadline. The petitioning party shall be referred to hereinafter as the petitioner and the responding party as the respondent. The petition shall include a brief statement of the events giving rise to the dismissal, the involuntary separation due to a reduction in force, the disciplinary suspension or the involuntary reappointment due to unsatisfactory work performance and the relief sought. Within five (5) days of receipt of the petition for a personnel appeal hearing, the Human Resources Administrator or designee shall provide a copy to the Attorney General, the employing agency and the employee or their representative as appropriate. If an employee or an agency does not petition for a personnel appeal hearing within the time prescribed, there shall be no other or further right to appeal, and the dismissal or the involuntary separation due to a reduction in force shall stand. The Grievance Committee decision shall stand if an employee or an agency does not petition for a personnel appeal hearing within the time prescribed in the case of a disciplinary suspension or an involuntary reappointment due to unsatisfactory work performance.
- (b) Within twenty (20) days of the date of the petition for a personnel appeal hearing, the respondent shall file a written response and any motions challenging the timeliness of the petition for a personnel appeal hearing, the petition's compliance with Chapter 12, Section 7(a) of these Rules or the employee's status as a permanent employee with the State Human Resources Administrator. The response shall include a brief statement of the cause(s) for dismissal, the involuntary separation due to a reduction in force, the disciplinary suspension, the involuntary reappointment due to unsatisfactory work performance. The respondent shall send by mail or hand deliver a copy of the response and any motions to the petitioner or the petitioner's designated representative. Any response to a motion filed with the State Human Resources Administrator shall be filed within ten (10) days after the motion is filed, and the party filing the response to a motion shall at the time of filing the response send by mail or hand deliver a copy of the response to the other party and the other party's representative, if applicable. (c)

Response and Motions Challenging Timeliness or Jurisdiction:

- (i) The responding party shall file a response and any motions challenging the timeliness or jurisdiction of the appeal within twenty (20) days of the filing date of the notice of appeal;
- (ii) The response and any motions shall be in writing and filed with the Human Resources Administrator;
 - (iii) The response shall include a statement of the facts on which the appeal is based;

- (iv) The responding party shall serve a copy of the response and any motions on the other party and the other party's representative, if any, at the time of filing.
- Immediately following the filing of the response to the petition, the agency and the employee, or their designated representatives, if any, shall confer and attempt to select a mutually agreed upon Presiding Officer. Within twenty-five (25) days of the filing of a petition for a personnel appeal hearing, the agency shall file with the State Human Resources Administrator a Designation of Presiding Officer on the appropriate form designated by the State Human Resources Administrator. The Designation of Presiding Officer shall provide the name of the Presiding Officer agreed upon by the parties, or shall indicate that the parties were unable to agree upon a Presiding Officer, and shall be signed by the employee and the agency head or his/her designee and their representatives, if applicable. The failure to timely file a completed Designation of Presiding Officer shall result in an assignment of the appeal to the Office of Administrative Hearings. The State Human Resources Administrator shall have jurisdiction to determine the timeliness and sufficiency of the Designation of Presiding Officer. If the agency files a completed and signed Designation of Presiding Officer naming a Presiding Officer upon which the employee and the agency agree, the State Human Resources Administrator shall assign the matter to the named Presiding Officer within twenty (20) days of the date the petition for personnel appeal hearing was filed. (d) Response to Motion. Any response to a motion filed with the Human Resources Administrator shall be filed within ten (10) days after the motion if filed, and the party filing the response to a motion shall serve a copy of the response on the other party and the other party's representative, if any, at the time of filing.

(e) Human Resources Administrator's Jurisdiction:

- (i) The Human Resources Administrator shall have jurisdiction to determine whether the employee has made a claim upon which relief can be granted, and the timeliness of the appeal;
- (ii) The Human Resources Administrator may issue orders, prior to referring the appeal to the presiding officer, on any matter within his or her jurisdiction upon motion of a party of the Human Resources Administrator's own motions.

(f) Presiding Officer:

- (i) The agency shall submit the name of a presiding officer mutually agreed upon by the parties to the Human Resources Administrator within five (5) days of the date of the notice of appeal;
- (ii) If the parties fail to submit notification of a mutually agreed upon presiding officer within the time allowed, the Human Resources Administrator shall immediately refer the matter to the Office of Administrative Hearings;
- (iii) The Human Resources Administrator shall transfer to the presiding officer the current record of the proceedings in the case.

Section 6. **General Procedures for Personnel Appeal Hearings.**

(a) Unless the parties stipulate in writing to an extension of the time period provided, the Presiding Officer shall render and file with the Human Resources Administrator a written decision and order containing Findings of Fact and Conclusions of Law, and shall provide written certified notice of the decision to all parties to the appeal within thirty (30) days of the close of evidence.

(b) Incorporation by Reference:

- (i) The Office of Administrative Hearing Rules, Chapter 2, Contested Case Proceedings, edition October 17, 2014 is incorporated by reference:
 - (ii) The incorporated rule does not include any later amendments or editions;
- (iii) The incorporated rule is maintained at the Department of Administration and Information, Human Resources division, Emerson Building, 2001 Capitol Avenue, Cheyenne, WY 82002 and is available for public inspection and copying at cost at the same location.
- Section 7. Consolidation of Multiple Actions. If an employee has multiple, separate, or pending grievances or appeals involving the same employee and agency, those grievances or appeals may be consolidated into one proceeding upon mutual, written agreement, if the facts and nature of the actions so allow.
- (d) If the parties are unable to agree upon a Presiding Officer, the State Human Resources Administrator shall assign the matter to the Office of Administrative Hearings within thirty-five (35) days of the date the petition for personnel appeal hearing was filed. Within ten (10) days after an appeal is assigned to the Office of Administrative Hearings, the Office of Administrative Hearings shall issue a docketing notice to the parties notifying the parties that the appeal has been docketed in the Office of Administrative Hearings and notifying the parties of the hearing officer assigned to hear the appeal. Each party may exercise only one (1) peremptory challenge against only one (1) Office of Administrative Hearings hearing officer. Any motion for a peremptory disqualification of an Office of Administrative Hearings within ten (10) days of the issuance of the Office of Administrative Hearings docketing notice. Motions for disqualification of a hearing officer for cause shall be made in accordance with Rule 40.1(b) of the Wyoming Rules of Civil Procedure.
- (e) After a petition for a personnel appeal hearing is filed, the State Human Resources Administrator shall have jurisdiction, in addition to that specified elsewhere in these Rules, to determine the timeliness of the petition, whether the petition complies with the requirements of Wyoming Personnel Rules Chapter 12, Section 7(a), and whether the employee is a permanent employee entitled to the relief provided by Chapter 12 of the Wyoming Personnel Rules. Motions to resolve any question not within the jurisdiction specifically granted to the State Human Resources Administrator by these Rules shall be filed with the Presiding Officer. The State Human Resources Administrator may issue orders on any matter within his jurisdiction prior to transferring the appeal to the Presiding Officer. The State Human Resources Administrator may issue orders on any matter within his jurisdiction either upon motion of a party or on his own motion.
- (f) The State Human Resources Administrator shall provide the Presiding Officer with the original or certified copies of the entire record of the proceedings under review on the same date the State Human Resources Administrator assigns the appeal to the Presiding Officer.

